

SERIOUS INCIDENT REPORTS

- 1. REASON FOR ISSUE:** This Directive establishes specific Department policy for Serious Incident Reports (SIRs).
- 2. SUMMARY OF CONTENTS/MAJOR CHANGES:** The Directive provides VA policy and responsibilities for SIRs.
- 3. RESPONSIBLE OFFICE:** The Office of Operations, Security and Preparedness, Office of Emergency Management is responsible for the contents of this Directive.
- 4. RELATED HANDBOOK:** VA Handbook 0321 Serious Incident Reports
- 5. RESCISSION:** None

CERTIFIED BY:

**BY DIRECTION OF THE
SECRETARY OF
VETERANS AFFAIRS:**

/s/
Roger W. Baker
Assistant Secretary for
Information and Technology

/s/
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SERIOUS INCIDENT REPORTS

1. PURPOSE. To establish policy for Serious Incident Reports (SIR) in order to facilitate reporting of certain high-interest incidents, significant events, and critical emerging or sensitive matters occurring throughout VA that are likely to result in National media or Congressional attention.

2. POLICY.

a. This directive requires that Serious Incidents in the VA infrastructure that are likely to result in National media or Congressional attention be reported to the VA Integrated Operations Center (VA IOC) as soon as possible but no later than 2 hours after awareness of the incident.

b. The SIR will inform the Secretary of any adverse event or incident likely to result in National media or Congressional attention. Discussed within the VA Handbook 0321 Serious Incident Reports, are the identified procedures and operational requirements implementing this policy.

c. The following are the reportable events and incidents:

(1) Public information regarding the arrest of a VA Employee (police report, public release, etc);

(2) Major disruption to the normal operations of a VA facility;

(3) Deaths on VA property due to suspected homicide, suicide, accidents, and/or suspicious deaths;

(4) VA Police involved shootings;

(5) Activation of Occupant Emergency Plans, Facility Disaster Plans and/or Continuity of Operations Plans;

(6) Loss or compromise of VA sensitive data, including classified information;

(7) Theft or loss of VA-controlled firearms or hazardous material, or other major theft or loss;

(8) Terrorist event or credible threat that impacts VA facilities or operations;

(9) Incidents on VA property that result in serious illness or bodily injury to include sexual assault, aggravated assault and child abuse.

d. Nothing in this policy for reporting serious incidents changes existing reporting requirements under 38 CFR 1.200 - 1.205 (Referrals of Information Regarding Criminal Violations).

e. In the event of an actual or alleged data breach, notify the information security officer, privacy officer, and supervisor, and follow other established procedures as provided by VA Handbooks 6500 "Information Security Program, and 6500.2 "Management of Security and Privacy Incidents".

3. RESPONSIBILITIES.

a. **The Secretary of Veterans Affairs** will ensure the development of policies and procedures for Serious Incident Reports.

b. **Assistant Secretary for Operations, Security, and Preparedness**

(1) Ensures development of coordinated procedures, standardized reports, forms and tools for implementing policy in this Directive in consultation with Under Secretaries, Assistant Secretaries, and Other Key Officials;

(2) Implements and maintains policies and procedures for SIRs;

(3) Informs Administrations, Staff and Program Offices, of SIR submissions;

(4) Ensures the VA IOC receives, tracks, displays, distributes, stores, and proactively collects additional data to produce SIRs for VA senior leadership;

(5) Ensures the VA IOC gathers and analyzes data and develops accurate reports.

c. **Under Secretaries, Assistant Secretaries, and Other Key Officials**

(1) Supports the Office of Operations, Security, and Preparedness in developing procedures for implementing policy in this Directive;

(2) Ensures that all relevant VA employees are aware of and adhere to this policy;

(3) Ensures standard operating procedures are developed in support of VA SIR policies and procedures.

(4) Ensures Field activities comply with SIR policies and procedures.